

*X* Please type a plus sign (+) inside this box →



OS  
3115

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6 + 41 Cited References

Application Number

10/053,975

Filing Date

January 18, 2002

First Named Inventor

LI, LIMIN

Group Art Unit

To Be Assigned

Examiner Name

To Be Assigned

Attorney Docket Number

STAN-216

### ENCLOSURES (check all that apply)

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers<br>(for an Application)                      | <input type="checkbox"/> After Allowance Communication to Group   |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences   |
| <input type="checkbox"/> Amendment / Reply                                   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)                                      |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>1) 41 Cited References<br>2) Return Postcard |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer  |   |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> Request for Refund   |   |
| <input type="checkbox"/> Certified Copy of Priority Documents                | <input type="checkbox"/> CD, Number of CD(s) _____                                      |   |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   |   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name

PAULA A. BORDEN, Reg. No. 42,344

Signature

Date

June 12, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: June 12, 2002.

Typed or printed name

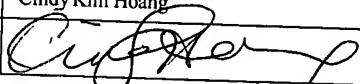
Cindy Kim Hoang

Signature

Date June 12, 2002

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

X3  
JUN 17 2002  
U.S. POSTAL SERVICE

CERTIFICATE OF MAILING																			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date.																			
Typed or Printed Name	Cindy Kim Hoang																		
Signature			Date																
<b>INFORMATION DISCLOSURE STATEMENT</b>		<table border="1"> <tr><td>Attorney Docket</td><td>STAN-216</td></tr> <tr><td>First Named Inventor</td><td>LI, LIMIN</td></tr> <tr><td>Application Number</td><td>10/053,975</td></tr> <tr><td>Confirmation No.</td><td>To Be Assigned</td></tr> <tr><td>Filing Date</td><td>January 18, 2002</td></tr> <tr><td>Group Art Unit</td><td>To Be Assigned</td></tr> <tr><td>Examiner Name</td><td>To Be Assigned</td></tr> <tr><td colspan="2">Title: "MAMMALIAN TUMOR SUSCEPTIBILITY GENE PRODUCTS AND THEIR USES"</td></tr> </table>		Attorney Docket	STAN-216	First Named Inventor	LI, LIMIN	Application Number	10/053,975	Confirmation No.	To Be Assigned	Filing Date	January 18, 2002	Group Art Unit	To Be Assigned	Examiner Name	To Be Assigned	Title: "MAMMALIAN TUMOR SUSCEPTIBILITY GENE PRODUCTS AND THEIR USES"	
Attorney Docket	STAN-216																		
First Named Inventor	LI, LIMIN																		
Application Number	10/053,975																		
Confirmation No.	To Be Assigned																		
Filing Date	January 18, 2002																		
Group Art Unit	To Be Assigned																		
Examiner Name	To Be Assigned																		
Title: "MAMMALIAN TUMOR SUSCEPTIBILITY GENE PRODUCTS AND THEIR USES"																			

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration. A Form PTO-SB/08A listing the references and copies of the cited references accompany this paper. Applicants would appreciate the Examiner's initialing and returning the form to indicate that the references have been reviewed and made of record.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one of the above references constitutes prior art to the present application within the meaning of 35 U.S.C. §102.

As applicants have not yet received a first Action on the merits, no fee is believed to be required for filing this Disclosure Statement. If, however, the PTO finds that for some reason a fee is due, our Deposit Account No. 50-0815, Order No. STAN-216 may be charged thereon.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

By: 

Paula A. Borden  
Registration No. 42,344

Date: June 12, 2002  
 BOZICEVIC, FIELD & FRANCIS LLP  
 200 Middlefield Road, Suite 200  
 Menlo Park, CA 94025  
 Telephone: (650) 327-3400  
 Facsimile: (650) 327-3231

JUN 17 2002

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 4

**Complete if Known**

<b>Application Number</b>	10/053,975
<b>Filing Date</b>	January 18, 2002
<b>First Named Inventor</b>	Li, et al.
<b>Group Art Unit</b>	Unassigned
<b>Examiner Name</b>	Unassigned
<b>Attorney Docket Number</b>	STAN-216

**U.S. PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Documents		Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, columns, lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Documents			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

**OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), <small>publisher, city and/or country where published</small>	T <sup>2</sup>
•	BAKER, et al. "Suppression of human colorectal carcinoma cell growth by wild-type p53", Science Vol. 249: 912-915 (1990).		
•	BUSCHMANN, et al. "SUMO-1 modification of Mdm2 prevents its self-ubiquitination and increases Mdm2 ability to ubiquitinate p53", Cell Vol. 101: 753-762 (2000).		
•	CHEN, et al. "Mapping of the p53 and mdm-2 interaction domains", Molecular and Cellular Biology Vol. 13(7): 4107-4114 (1993).		
•	FANG, et al. "Mdm2 is a RING finger-dependent ubiquitin protein ligase for itself and p53", J. Biol. Chem. Vol. 275(12): 8945-8951 (2000).		
•	FENG, et al. "TSG101 protein steady-state level is regulated posttranslationally by an evolutionarily conserved COOH-terminal sequence", Cancer Research Vol. 60: 1736-1741 (2000).		
•	FIDDLER, et al. "Amplification of MDM2 inhibits MyoD-mediated myogenesis", Molecular and Cellular Biology Vol. 16(9): 5048-5057 (1996).		
•	FREEDMAN, et al. "Regulation of the p53 protein by the MDM2 oncoprotein – Thirty-eight G.H.A. Clowes memorial award lecture", Cancer Research Vol. 59: 1-7 (1999).		
•	GAYTHER, et al. "Aberrant splicing of the TSG101 and FHIT genes occurs frequently in multiple malignancies and in normal tissues and mimics alterations previously described in tumours", Oncogene Vol. 15: 2119-2126 (1997).		

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

JUN 17 2002

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

2

of

4

**Complete if Known**

Application Number	10/053,975
Filing Date	January 18, 2002
First Named Inventor	Li, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	STAN-216

**OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS**

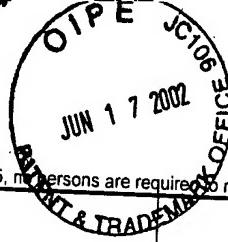
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		HAUPT, et al. "Mdm2 promotes the rapid degradation of p53", Nature Vol. 387: 296-299 (1997).	
		HITTLELMANN, et al. "Differential regulation of glucocorticoid receptor transcriptional activation via AF-1-associated proteins", The EMBO J. Vol. 18(19): 5380-5388 (1999).	
		HOCHSTRASSER. "All in the ubiquitin family", Science Vol. 289: 563-564 (2000).	
		HONDA, et al. "Association of p19 <sup>ARF</sup> with Mdm2 inhibits ubiquitin ligase activity of Mdm2 for tumor suppressor p53", The EMBO J. Vol. 18(1): 22-27 (1999).	
		HSIEH, et al. "RB regulates the stability and the apoptotic function of p53 via MDM2", Mol. Cell Vol. 3: 181-193 (1999).	
		JONES, et al. "Rescue of embryonic lethality in Mdm2-deficient mice by absence of p53", Nature Vol. 378: 206-208 (1995).	
		KOONIN, et al. "TSG101 may be the prototype of a class of dominant negative ubiquitin regulators", Nature Genetics Vol. 16: 330-331 (1997).	
		KUBBUAT, et al. "Regulation of p53 stability by Mdm2", Nature Vol. 387: 299-303 (1997).	
		LANE, et al. "MDM2 – arbiter of p53's destruction", Trends Biochem. Sci. Vol. 22: 372-374 (1997).	
		LEE, et al. "Aberrant splicing but not mutations of TSG101 in human breast cancer", Cancer Research, Vol. 57: 3131-3134 (1997).	
		LEVINE, et al. "The spectrum of mutations at the p53 locus: Evidence for tissue-specific mutagenesis, selection of mutant alleles, and a "gain of function" phenotype", Ann. NY Acad. Sci. Vol. 768: 111-128 (1995).	
		LEVINE. "p53, the cellular gatekeeper for growth and division", Cell Vol. 88: 323-331 (1997).	
		LI, et al. "tsg101: A novel tumor susceptibility gene isolated by controlled homozygous functional knockout of allelic loci in mammalian cells", Cell Vol. 85: 319-329 (1996).	
		MCMASTERS, et al. "mdm2 deletion does not alter growth characteristics of p53-deficient embryo fibroblasts", Oncogene Vol. 13: 1731-1736 (1996).	

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

3

of

4

**Complete if Known**

Application Number	10/053,975
Filing Date	January 18, 2002
First Named Inventor	Li, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	STAN-216

**OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher city and/or country where published	T <sup>2</sup>
		MONTES DE OCA LUNA, et al. "Rescue of early embryonic lethality in mdm2-deficient mice by deletion of p53", Nature Vol. 378: 203-206 (1995).	
		OLSON, et al. "Identification and characterization of multiple mdm-2 proteins and mdm-2-p53 protein complexes" Oncogene Vol. 8: 2353-2360 (1993).	
		OREN. "Regulation of the p53 tumor suppressor protein", J. Biol. Chem. Vol. 274(51): 36031-36034 (1999).	
		PONTING, et al. "The breast cancer gene product TSG101: A regulator of ubiquitination?", J. Mol. Med. Vol. 75: 467-469 (1997).	
		PRIVES. "The MDM2-p53 circuit", Cell Vol. 95: 5-8 (1998).	
		ROTH, et al. "Nucleo-cytoplasmic shuttling of the hdm2 oncoprotein regulates the levels of the p53 protein via a pathway used by the human immunodeficiency virus rev protein", The EMBO J. Vol. 17(2): 554-564 (1998).	
		RULAND, et al. "p53 accumulation, defective cell proliferation, and early embryonic lethality in mice lacking tsg101", PNAS Vol. 98(4): 1859-1864 (2001).	
		SHERR, et al. "The ARF/p53 pathway", Curr. Opin. Genet. Dev. Vol. 10: 94-99 (2000).	
		SUN, et al. "Frequent abnormalities of TSG101 transcripts in human prostate cancer", Oncogene Vol. 15: 3121-3125 (1997).	
		SUN, et al. "Tumor susceptibility gene 101 protein represses androgen receptor transactivation and interacts with p300", Cancer Vol. 86: 689-696 (1999).	
		TURPIN, et al. "Stress-induced aberrant splicing of TSG101: Association to high tumor grade and p53 status in breast cancers", Oncogene Vol. 18: 7834-7837 (1999).	
		VANDEMARK, et al. "Molecular insights into polyubiquitin chain assembly: crystal structure of the Mms2/Ubc13 heterodimer", Cell Vol. 105: 711-720 (2001).	
		VOUSDEN, et al. "p53: Death Star", Cell Vol. 103: 691-694 (2002).	
		WAGNER, et al. "Genomic architecture and transcriptional activation of the mouse and human tumor susceptibility gene TSG101: Common types of shorter transcripts are true alternative splice variants", Oncogene Vol. 17: 2761-2770 (1998).	
		WARD, et al. "Degradation of CFTR by the ubiquitin-proteasome pathway", Cell Vol. 83: 121-127 (1995).	

Examiner Signature

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box →

JUN 17 2002

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

4 of 4

**Complete if Known**

Application Number	10/053,975
Filing Date	January 18, 2002
First Named Inventor	Li, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	STAN-216

**OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), <small>publisher, city and/or country where published</small>	T <sup>2</sup>
		WATANABE, et al. "A putative tumor suppressor, TSG101, acts as a transcriptional suppressor through its coiled-coil domain", Biochem. Biophys. Res. Commun. Vol. 245: 900-905 (1998).	
		WEISSMAN. "Themes and variations on ubiquitylation", Nature Reviews Vol. 2:169-178 (2001).	
		XIE, et al. "Cell cycle-dependent subcellular localization of the TSG101 protein and mitotic and nuclear abnormalities associated with TSG101 deficiency", Proc. Natl. Acad. Sci. USA Vol. 95: 1595-1600 (1998).	
		ZHANG, et al. "ARF promotes MDM2 degradation and stabilizes p53: ARF-INK4a locus deletion impairs both the Rb and p53 tumor suppression pathways", Cell Vol. 92: 725-734 (1998).	

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.